



JC07 Rec'd PTO 05 APR 2001

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re Application of:

Akira Nishiyama et al.

Serial No.: 09/762,215

: Art Unit: Not yet assigned

Filed: February 5, 2001

: Examiner: Not yet assigned

For: Processes for the Preparation of 5-  
Hydroxy-3-Oxopentanoic Acid  
Derivatives

: Atty Docket: 1581/00240

**RESPONSE TO "NOTICE TO FILE MISSING REQUIREMENTS"**

Commissioner for Patents  
Washington, D.C. 20231

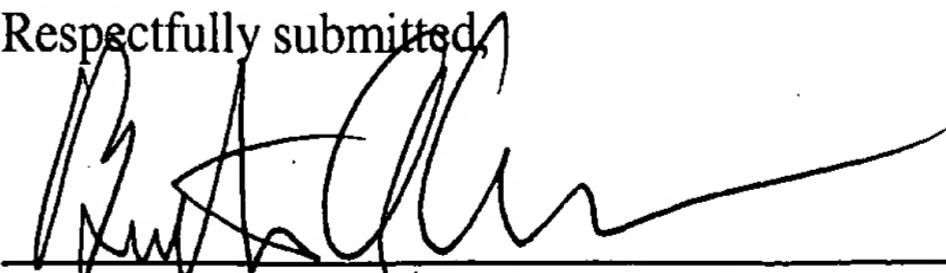
Sir:

In response to the **NOTICE TO FILE MISSING REQUIREMENTS OF APPLICATION** dated March 5, 2001, Applicants submit herewith the following documents for appropriate action by the U.S. Patent and Trademark Office:

1. Copy of the Notice to File Missing Parts;
2. Original executed Declaration;
3. Our check for \$170.00 covering:  
\$130.00 - Surcharge for late filing of Declaration, and  
\$ 40.00 - Assignment recordation fee.

The Director is hereby authorized to charge any insufficient fees, including any fees required under 37 CFR §§ 1.16 or 1.17, or credit any overpayment to Deposit Account No. 22-0185. A duplicate copy of this authorization is also attached.

Respectfully submitted,

  
Burton A. Amernick, Reg. No. 24,852  
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Telephone: 202-331-7111

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31-240

missing requirement 4-5-01

*Raw*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: ASSISTANT COMMISSIONER FOR PATENTS  
Box PCT  
Washington, D.C. 20231



U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.	
09/762215	NUSHIYAMA	A 1581/00240	
CONNOLLY BOVE LODGE & HUTZ 1990 M STREET N W SUITE 800 WASHINGTON, DC 20036 3425	INTERNATIONAL APPLICATION NO.		
APR 05 2001		PCT/JP00/03574	
PATENT & TRADEMARK OFFICE 1601		I.A. FILING DATE	
		02 JUN 00	PRIORITY DATE
		04 JUN 99	
DATE MAILED: 05 MAR 2001			

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as

a Designated Office (37 CFR 1.494),  
 an Elected Office (37 CFR 1.495);  
 U.S. Basic National Fee.  
 Copy of the international application in:  
 a non-English language.  
 English.  
 Translation of the international application into English.  
 Oath or Declaration of inventors(s) for DO/EO/US.  
 Copy of Article 19 amendments.  
 Translation of Article 19 amendments into English.  
 The International Preliminary Examination Report in English and its Annexes, if any.  
 Translation of Annexes to the International Preliminary Examination Report into English.  
 Preliminary amendment(s) filed \_\_\_\_\_ and \_\_\_\_\_  
 Information Disclosure Statement(s) filed \_\_\_\_\_ and \_\_\_\_\_  
 Assignment document.  
 Power of Attorney and/or Change of Address.  
 Substitute specification filed \_\_\_\_\_  
 Verified Statement Claiming Small Entity Status.  
 Priority Document.  
 Copy of the International Search Report  and copies of the references cited therein.  
 Other:

2. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

a. Translation of the application into English. Note a processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.  
 The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.  
 b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).  
 c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.  
 The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.  
 d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

3. Additional claim fees of \$ \_\_\_\_\_ as a  large entity  small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due. See attached PTO-875.

**ALL OF THE ITEMS SET FORTH IN 2(a)-2(d) AND 3 ABOVE MUST BE SUBMITTED WITHIN ONE MONTH FROM THE DATE OF THIS NOTICE OR BY  21 OR  31 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

4. Translation of the Annexes **MUST** be submitted no later than the time period set above or the annexes will be cancelled. Note processing fee will be required if submitted later than 30 months from the priority date.  
 The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

***A copy of this notice MUST be returned with this response.***

Enclosed:

PCT/DO/EO/917

Notice of Defective Translation

PTO-875

FORM PCT/DO/EO/905 (December 1997)

Deborah Williams

Telephone: 703-305-3744